

Best Practice #165

Best Practice Title: Management Assessment Evaluation and Feedback

Facility: Pantex/Nevada National Security Site (NNSS)

Point of Contact: Grant Fondaw (Pantex), (806)477-5771 or Jason Prestridge (NNSS), (702)295-0693

Brief Description of Best Practice: Implementing a Management Assessment Evaluation and Feedback process provides feedback to the assessing organization to promote continuous improvement of assessment quality and provides a means of capturing data to support trending and analysis to determine the health of the management assessment program.

Why the best practice was used: The content and the quality of a management assessment report can depend on many different things; who's writing the report, the topic being assessed, the template and format of the report, etc. As a standard, the Department of Energy Guide, DOE G 414-1B provides guidance that the assessment report should be clear, concise, accurate, and easy to understand, and should include only facts that directly relate to assessment observations and results. It should include sufficient information to enable the assessed organization to develop and implement appropriate improvement plans. Typically a management assessment report includes a purpose/scope, executive summary, assessor names, assessment criteria and approach (interviews, document reviews, observations), and issue summary. However, the guide also acknowledges that a management assessment report may not require all this content and may only require an executive summary. The general rule of thumb is that a third party can review the report and easily understand what was assessed and the overall results.

Based on senior management and customer concerns, both Pantex and the NNSS implemented similar Management Assessment Evaluation and Feedback processes to improve the level of confidence in the quality of the management assessments performed at their respective sites.

What are the benefits of the best practice: Overall, the Management Assessment Evaluation and Feedback process has been valuable in ensuring continuous improvement. This is evident by an increase in the quality of management assessments, the self-critical nature of the assessment team, and ultimately improving the identification of areas that need improvement (issues, findings, observations, etc.). Specifically for the NNSS, during the Federal Line Oversight and Contractor Assurance Systems assessment, the assessment team acknowledged that this tool has provided an increased focus on the management assessment process and that it was evident during their document reviews and interviews.

What problems/issues were associated with the best practice: Consideration should be given to who the feedback is provided to. Sending the feedback to managers and/or other personnel beyond the assessment team may result in the perception that the process will become a source of performance pressure.

There could also be some debate that the rating system used as part of the evaluation and feedback process could be considered academic or grading of performance. Some may welcome a grade while others may find it trivial. Regardless, some form of rating will be necessary to be able to focus attention on areas that need improvement.

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In addition, it is necessary to provide a standard for the quality of the management assessment reports prior to implementing the evaluation and feedback process. Specifically for the NNSS, it helped to provide an assessment guide and a couple of model examples that highlight the expectations. When the feedback is provided to the assessment team, it helps to reinforce the quality expectations by directing them to the guidance and examples.

How the success of the Best Practice was measured: The Management Assessment Evaluation and Feedback process provides a mechanism to capture the feedback in some database or other electronic system. Utilizing the feedback that is recorded in the database, oversight personnel will be able to develop performance metrics which will provide a key indicator of the management assessment program health and highlight trends showing improvement or regression. The metrics can also be used to focus management attention on specific topics that needs improvement.

Description of process experience using the Best Practice: The NNSS has been implementing their Management Assessment Evaluation and Feedback since 2005. Over the years the process owners have found that it is necessary to change the evaluation criteria for continuous improvement. It has also become evident that there has been a cultural shift on the perception of the Management Assessment Evaluation and Feedback process, where assessors and their managers actually welcome the feedback as a measure of their assessment quality.

Attachment to BP #165

GREEN - Management Assessment Feedback

Lesson ID: 2012-NV-NNSS-417 (*Source: User Submitted*)

Originating Organization or Contracting Company: National Security Technologies, LLC

Date: 3/1/2012

Contact: Jason Prestridge / (702) 295-0693

Classifier: Andrea L. Gile **Reviewer:** Jason Prestridge

Statement: Utilization of a feedback process has resulted in improved performance.

Discussion: During a recent Line Oversight and Contractor Assurance System (LOCAS) assessment, the assessment team identified the Management Assessment Feedback process as a Noteworthy Practice which has led to improved Management Assessment reports and the self-identification of issues.

On an ongoing basis, the Quality and Performance Improvement Division (QPID) conducts reviews of completed Management Assessments (MA) against a set of criteria and the results are recorded in a database. Once the review has been completed, recommendations regarding the quality and completeness of the MA report are provided back to the MA Responsible Manager(s) and the Assessment Team Leader to complete the feedback loop.

Utilizing the feedback that is recorded in the database, QPID personnel have developed a performance metric which provides a key indicator of the program health. The metric is published in the NSTec Dashboard under the Assurance System tab and has been used to focus management attention on areas of the MA process that needs improvement.

Overall, the MA Feedback process has been valuable in ensuring continuous improvement. This is evident by an increase in both performance of MAs and self-reporting of issues. During the course of the aforementioned LOCAS assessment, the assessment team acknowledged that this tool has provided an increased focus on the MA process and that it was evident during their document reviews and interviews.

Analysis: The MA Feedback process provides feedback to the assessing organization to promote continuous improvement and provides a means of capturing data to support trending and analysis on the MA process.

Actions: Recommend developing and implementing an assessment feedback process that will provide the data necessary for management to focus on areas needing improvement.

Savings: Not Identified

Keywords: ASSESSMENTS

Hazard(s): Not Identified

ISM Code(s): Not Identified

Work Function(s): Quality

References: Management Assessment Feedback Process, Quality, Continuous Improvement, LOCAS

Priority Descriptor: Green / Good Work Practice

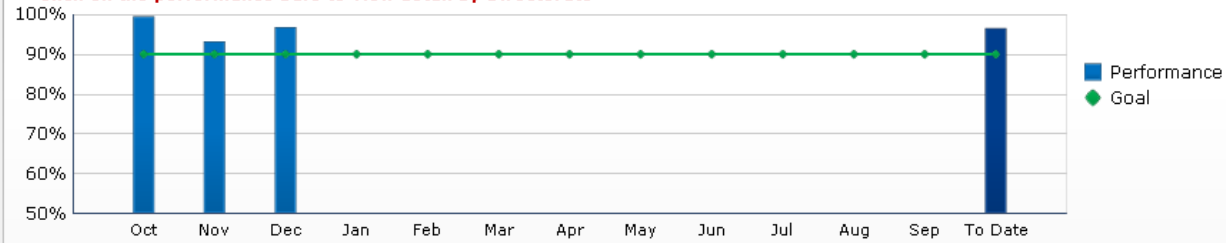
Attachments:

[2012-417 Attachment 1.pdf](#)

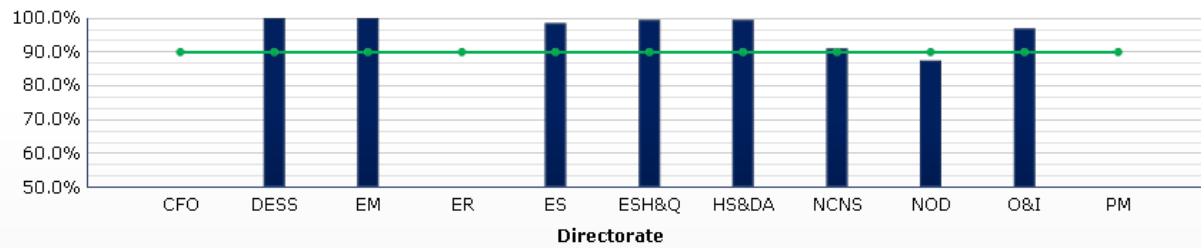
* Management Assessment Performance

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** Click on the performance bars to view detail by Directorate

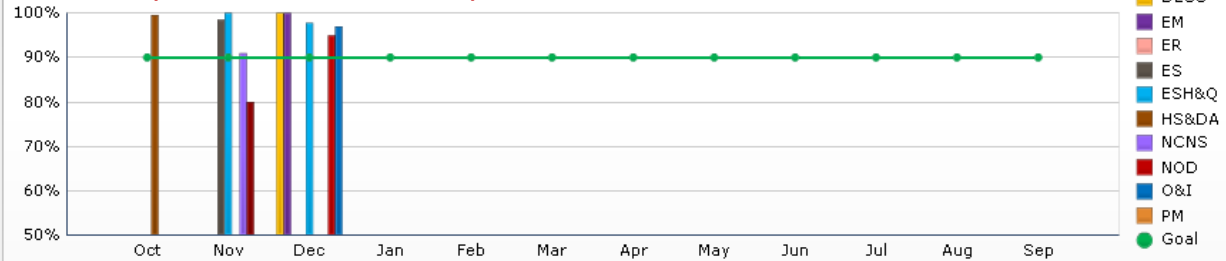


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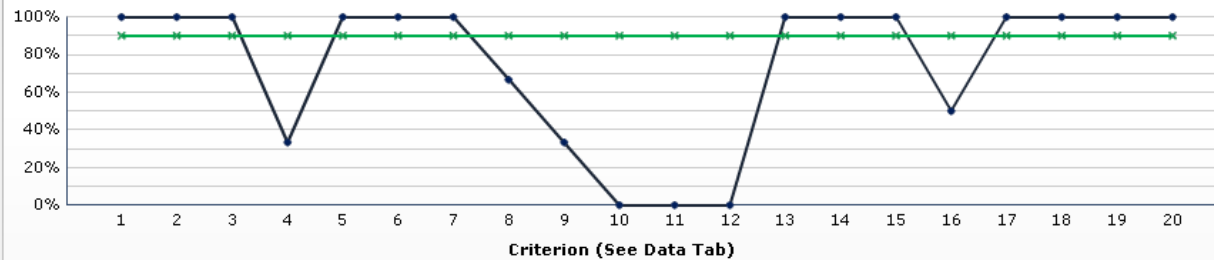


Assessment Performance by Directorate

** Click on the performance bars to view detail by Directorate



NOD Nov



MANAGEMENT ASSESSMENT FEEDBACK TEMPLATE

Rev. 7. 11/11

Assessment Title: Fire Protection Program	Assessment Number:	MA-12-XXXX-001
Responsible Manager:	Report Approval Date:	12/21/2011
Team Leader:	Reviewer/Date:	12/28/11

Report Section / Criteria / Points	Meets Expectation	Needs Some Improvement	POINTS
I. Report Format: (3 Points)			
1. Was the current template used for the MA Report? (3 Points)	X		3
Comments: <i>None</i>			Subtotal: 3
II. Purpose and Scope: (10 Points)			
2. Did the Purpose clearly describe the overall intent of the Management Assessment and answer the question "Why am I performing this assessment?" (5 Points)	X		5
3. Did the Scope briefly describe the requirements and/or expectations to be considered during the assessment? (5 Points)	X		5
Comments: <i>None</i>			Subtotal: 10
III. Executive Summary: (24 Points)			
4. Did the Executive Summary briefly describe the programs and processes assessed? (6 Points)		X	3
5. Did the Executive Summary describe the overall results, including an evaluation of the effectiveness, efficiency, and adequacy of the assessed areas? (6 Points)	X		6
6. Did the Executive Summary describe how the assessment was performed (e.g., document reviews, interviews, performance observations)? (6 Points)		X	0
7. Did the Executive Summary include the identification of any issues? (6 Points)	X		6
Comments: <i>The Executive Summary should be considered a stand alone section and briefly restate the overall purpose of the assessment. Although identified in the discussion, the Executive Summary should provide information regarding how the assessment was performed. For example, "The assessment consisted of documentation review, interviews with select personnel and field observations." or "This assessment consisted solely of document review."</i>			Subtotal: 15
IV. Issue Summary: (3 Points)			
8. Did the issue summary provide a list of identified issues by issue title and caWeb number? (3 Points)		X	2
Comments: <i>Although not identified in the 22 criteria, the OFI should still be referred to by number in the caWeb issue summary.</i>			Subtotal: 2
V. Attachments / Management Assessment Plan: (6 Points)			
9. Was additional information providing supportive and/or objective evidence included with the report? (3 Points)	X		3
10. Was the Management Assessment Plan completed and distributed before performing the assessment? (3 Points)	X		3
Comments: <i>None</i>			Subtotal: 6
VI. Team Member and NSO Contact: (6Points)			
11. Have the RM and Team Leader completed the MA Briefing (1G00W563)? (3 Points)	X		3
12. Was the name of the NNSA/NSO POC provided? (3 Points)	X		3
Comments: <i>None</i>			Subtotal: 6
VII. Criterion and Source of Criterion: (12 Points)			
13. Did the criterion (the standard by which the subject is measured) ask only one question or discuss a single topic? (6 Points)	X		6
14. Did the Source of Criterion specify a performance document and section or other justification for the criterion? (6 Points)	X		6
Comments: <i>None</i>			Subtotal: 12

VIII. Discussion / Objective Evidence: (32 Points)			
15. Does the discussion clearly state whether or not the criterion has been met? (8 Points)	X		8
16. Does the discussion provide enough detail to permit a third party to read the objective evidence and come to the same conclusion as the assessor? (8 Points)	X		8
17. Does the discussion provide a detailed description of how the criterion was evaluated (e.g., who was interviewed, what was examined, what activities were observed)? (8 Points)	X		8
18. Does the discussion summarize and discuss identified findings? (8 Points)	X		8
Comments:	None		Subtotal: 32
IX. General: (4 Points)			
19. Is the level of detail provided in the assessment commensurate with identified risk and scope? (2 Points)	X		2
20. Was report distribution consistent with the stated distribution provided in the template? (2 Points)	X		2
Comments:	None		Subtotal: 4
			Grand Total: 90
Feedback Score returned to Responsible Manager/Date:	1/24/12	Percentage Reported:	90.0%

Unless specified, you are not required to take any action on our comments; however, it is believed that their consideration and implementation into future assessment efforts would enhance overall performance and customer satisfaction.